

***Penalty for presenting fraudulent claim is a fine of up to \$500,000 or imprisonment for up to 5 years, or both. 18 U.S.C. §§ 152 AND 3571***

Robinhood Securities LLC

Account 649962289

2021

## Summary Information

(continued)

02/11/2022

## INTEREST INCOME

2021 1099-INT

OMB No. 1545-0112

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1- Interest income (not included in line 3)	0.00
2- Early withdrawal penalty	0.00
3- Interest on US Savings Bonds & Treasury obligations	0.00
4- Federal income tax withheld	0.00
5- Investment expenses	0.00
7- Foreign country or US possession:	0.00
8- Tax-exempt interest (includes line 9)	0.00
9- Specified private activity bond interest (AMT)	0.00
10- Market discount (covered lots)	0.00
11- Bond premium (covered lots)	0.00
12- Bond premium on Treasury obligations (covered lots)	0.00
13- Bond premium on tax-exempt bonds (categorized below)	0.00
Tax-exempt obligations (covered lots)	0.00
Tax-exempt private activity obligations (AMT, covered lots)	0.00
14- Tax-exempt and tax credit bond CUSIP number	

The following amounts are not reported to the IRS. They are presented here for your reference when preparing your tax return(s).

Taxable accrued interest paid	0.00
Taxable accrued Treasury interest paid	0.00
Tax-exempt accrued interest paid	0.00
Tax-exempt accrued interest paid (AMT)	0.00
Taxable accrued nonqualified interest paid	0.00
Tax-exempt accrued nonqualified interest paid	0.00
Tax-exempt accrued nonqualified interest paid (AMT)	0.00
Nonqualified interest	0.00
Tax-exempt nonqualified interest	0.00
Tax-exempt nonqualified interest (AMT)	0.00
Interest shortfall on contingent payment debt	0.00
Bond premium- Non Treasury obligations (noncovered lots)	0.00
Bond premium- Treasury obligations (noncovered lots)	0.00
Bond premium- Tax-exempt obligations (noncovered lots)	0.00
Bond premium- Tax-exempt obligations (AMT, noncovered lots)	0.00
Market discount (noncovered lots)	0.00

## STATE TAX WITHHELD

Use the details of the State Tax Withholding page(s) to determine the appropriate amounts for your income tax return(s). The amounts shown in this section are for your reference.

1099-DIV total withheld	0.00
1099-INT total withheld	0.00
1099-OID total withheld	0.00
1099-MISC total withheld	0.00
1099-B total withheld	0.00

## ORIGINAL ISSUE DISCOUNT AND ADJUSTMENTS

Use bond-by-bond details from the Form 1099-OID page(s) to determine amounts of Original Issue Discount income for your income tax return(s). The amounts shown in this section are for your reference when preparing your income tax return(s).

Original issue discount for the year	0.00
Acquisition premium (covered lots)	0.00
Acquisition premium (noncovered lots)	0.00
Original issue discount on Treasury obligations	0.00
Acquisition premium, Treasury obligations (covered lots)	0.00
Acquisition premium, Treasury obligations (noncovered lots)	0.00
Tax-exempt OID	0.00
Tax-exempt OID (lots not reported)	0.00
Acquisition premium (covered)	0.00
Acquisition premium (lots not reported)	0.00
Tax-exempt OID on private activity bonds	0.00
Tax-exempt OID on private activity bonds (lots not reported)	0.00
Acquisition premium (AMT, covered)	0.00
Acquisition premium (AMT, lots not reported)	0.00
Market discount (all lots)	0.00
Early withdrawal penalty	0.00
Investment expenses	0.00

## RECONCILIATIONS, FEES, EXPENSES AND EXPENDITURES

The amounts in this section are not reported to the IRS. They are presented here for your reference when preparing your income tax return(s).

Other Receipts & Reconciliations- Partnership distributions	0.00
Other Receipts & Reconciliations- Foreign tax paid- partnership	0.00
Other Receipts & Reconciliations- Return of principal	0.00
Other Receipts & Reconciliations- Deferred income payment	0.00
Other Receipts & Reconciliations- Deemed premium	0.00
Other Receipts & Reconciliations- Income accrual- UIT	0.00
Other Receipts & Reconciliations- Basis adjustments	0.00
Other Receipts & Reconciliations- Foreign tax pd beyond treaty	0.00
Fees & Expenses- Margin interest	0.00
Fees & Expenses- Dividends paid on short position	0.00
Fees & Expenses- Interest paid on short position	0.00
Fees & Expenses- Non reportable distribution expense	0.00
Fees & Expenses- Other expenses	0.00
Fees & Expenses- Severance tax	0.00
Fees & Expenses- Organizational expense	0.00
Fees & Expenses- Miscellaneous fees	0.00
Fees & Expenses- Tax-exempt investment expense	0.00
Foreign Exchange Gains & Losses- Foreign currency gain/loss	0.00

Robinhood Securities LLC

Account 649962289

## Proceeds from Broker and Barter Exchange Transactions

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

## SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS [Ordinary gains or losses are identified in the Additional information column] (Lines 2 &amp; 5)

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

"Gain or loss (-)" is NOT reported to the IRS.

## 1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional Information
DURECT CORPORATION COMMON STOCK / CUSIP: 266605104 / Symbol:							
4 transactions for 05/28/21. Total proceeds and cost reported to the IRS.							
	88.583	148.36	02/22/21	225.00	...	-76.64	1 of 4 - Sale <sup>25</sup>
	63.291	106.00	02/25/21	150.00	...	-44.00	2 of 4 - Sale <sup>25</sup>
	0.904	1.51	05/11/21	1.50	...	0.01	3 of 4 - Sale <sup>25</sup>
	149.701	250.73	05/11/21	248.50	...	2.23	4 of 4 - Sale <sup>25</sup>
05/28/21	302.478	506.60	Various	625.00	...	-118.40	Total of 4 transactions
GAMESTOP CORP. CLASS A / CUSIP: 36467W109 / Symbol:							
2 transactions for 02/24/21. Total proceeds and cost reported to the IRS.							
	0.606	75.03	02/12/21	31.87	...	43.16	1 of 2 - Sale <sup>25</sup>
	6.988	865.29	02/12/21	368.13	...	497.16	2 of 2 - Sale <sup>25</sup>
02/24/21	7.594	940.32	Various	400.00	...	540.32	Total of 2 transactions
META MATERIALS INC. COMMON STOCK / CUSIP: 59134N104 / Symbol:							
2 transactions for 08/20/21. Total proceeds and cost reported to the IRS.							
	0.556	1.59	03/05/21	2.43	...	-0.84	1 of 2 - Sale <sup>25</sup>
	0.360	1.04	03/05/21	1.58	...	-0.54	2 of 2 - Sale <sup>25</sup>
08/20/21	0.915	2.63	Various	4.01	...	-1.38	Total of 2 transactions
QUALIGEN THERAPEUTICS, INC. COMMON STOCK / CUSIP: 74754R103 / Symbol:							
10 transactions for 05/12/21. Total proceeds and cost reported to the IRS.							
	0.896	1.46	02/08/21	3.60	...	-2.14	1 of 10 - Sale <sup>25</sup>
	99.880	163.22	02/17/21	407.50	...	-244.28	2 of 10 - Sale <sup>25</sup>
	0.123	0.20	02/17/21	0.50	...	-0.30	3 of 10 - Sale <sup>25</sup>
	48.465	79.20	03/19/21	149.76	...	-70.56	4 of 10 - Sale <sup>25</sup>
	0.078	0.13	03/19/21	0.24	...	-0.11	5 of 10 - Sale <sup>25</sup>
	170.940	279.34	05/11/21	292.31	...	-12.97	6 of 10 - Sale <sup>25</sup>
	4.393	7.18	05/11/21	7.51	...	-0.33	7 of 10 - Sale <sup>25</sup>
	0.104	0.17	05/11/21	0.43	...	-0.26	8 of 10 - Sale <sup>25</sup>
	147.133	240.44	05/12/21	248.64	...	-8.20	9 of 10 - Sale <sup>25</sup>
	0.988	1.61	05/12/21	1.66	...	-0.05	10 of 10 - Sale <sup>25</sup>
05/12/21	473.000	772.95	Various	1,112.15	...	-339.20	Total of 10 transactions
05/12/21	0.104	0.17	02/08/21	0.42	0.25 W	0.00	Sale <sup>25</sup>
Security total:		773.12		1,112.57	0.25 W	-339.20	

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Robinhood Securities LLC

Account 649962289

## Proceeds from Broker and Barter Exchange Transactions

2021 1099-B\* OMB No. 1545-0715

(continued)

02/11/2022

**SHORT TERM TRANSACTIONS FOR COVERED TAX LOTS** [Ordinary gains or losses are identified in the Additional information column] (Lines 2 & 5)

Report on Form 8949, Part I with Box A checked. Basis is provided to the IRS. (Line 12)

\*Gain or loss (-) is NOT reported to the IRS.

## 1a- Description of property/CUSIP/Symbol

1c- Date sold or disposed	Quantity	1d- Proceeds & 6- Reported (G)ross or (N)et	1b- Date acquired	1e- Cost or other basis	1f- Accrued mkt disc (D) & 1g- Wash sale loss disallowed (W)	Gain or loss(-) & 7- Loss not allowed (X) also not reported (Z)	Additional Information
SUNDIAL GROWERS INC. COMMON SH ARES / CUSIP: 86730L109 / Symbol:							
08/20/21	0.423	0.29	02/19/21	0.58	...	-0.29	Sale <sup>25</sup>
Totals :		3,840.85		4,243.17	2.51 W	-399.81	

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Robinhood Securities LLC

Account 649962289

**Proceeds Not Reported to the IRS**

2021

02/11/2022

This section of your tax information statement provides proceeds transactions that are not reported to the IRS, but may have a tax impact. They are grouped by term (long, short or undetermined). For tax lots whose term is undetermined, use your historical documents to establish the cost basis and date of purchase.

Several columns include both an amount and a qualifying notation to its right. Where proceeds are the result of an option exercise or assignment, there is indication of whether the amount is N (net of option premium) or G (Gross). Accrued Market Discount and Wash Sale Loss Disallowed appear in the same column, identified by the letters D or W, respectively. Where you are not permitted to recognize a loss, an indication of X (change in control or capital structure) or Z (other corporate action) is used.

Some tax lots may have notations in the column of additional information because they require special treatment on your tax returns. Sales of securities such as Contingent Payment Debt Instruments (CPDI) are marked as "Ordinary" because gains and losses on these instruments generally do not qualify as short- or long-term capital transactions. Similarly, sales of collectibles, noted as "3 - Proceeds from Collectibles [X]" are handled distinctly under the tax code. You may wish to consult with your tax advisor, the IRS or your state tax authority regarding the proper treatment for these scenarios. With further regard to Box 3, there is also a checkmark to indicate the proceeds of sale are from a Qualified Opportunity Zone Fund investment - a QOF. If the proceeds are from a QOF the Additional Information column will reflect the following - "3 - [X] Proceeds from QOF." The tax treatment for QOF investments can be complex and you may wish to consult your tax advisor about such sales.

**SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]**

Report on Form 8949, Part I, with Box C checked.

**Description of property**

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
META MATERIALS INC. COMMON STOCK / CUSIP: 59134N104 / Symbol: 07/06/21	0.198	1.85	03/05/21	0.87	...	0.98	Gain or loss
META METALS INC PREFERRED (SERIES A) / CUSIP: 59134N203 / Symbol: 10/15/21	0.396	0.34	03/05/21	0.00	...	0.34	Gain or loss
<b>Totals:</b>		<b>2.19</b>		<b>0.87</b>	...	<b>1.32</b>	

Robinhood Securities LLC

Account 649862289

## Non-Reportable Actions

2021

02/11/2022

Security Description	CUSIP and/or symbol	Date	Quantity	Amount	Transaction type	Notes
META METALS INC PREFERRED (SER IES A)	59134N203	07/07/21	840.00	0.00	Stock spinoff	



## Portfolio Summary

Securities Held in Account	Sym/Cusip	Acct Type	Qty	Price	Mkt Value	Est. Dividend Yield	% of Total Portfolio
AMC Entertainment Estimated Yield: 1.42%	AMC	Margin	419.90701	\$37.02	\$15,544.96	\$219.98	84.76%
Clover Health Investments Estimated Yield: 0.00%	CLOV	Margin	47.386299	\$8.07	\$382.41	\$0.00	2.09%
Meta Materials Estimated Yield: 0.00%	MMAT	Margin	453.915285	\$3.50	\$1,588.70	\$0.00	8.66%
MMAT Preferred Shares Estimated Yield: 0.00%	MMAT-A	Margin	840	\$0.01	\$8.40	\$0.00	0.05%
Sundial Growers Estimated Yield: 0.00%	SNDL	Margin	988.42303	\$0.82	\$815.35	\$0.00	4.45%
<b>Total Securities</b>					<b>\$18,339.82</b>	<b>\$219.98</b>	<b>100.00%</b>
<b>Brokerage Cash Balance</b>					<b>\$0.00</b>		<b>0.00%</b>
<b>Total Priced Portfolio</b>					<b>\$18,339.82</b>		

## Account Activity

Description	Symbol	Acct Type	Transaction	Date	Qty	Price	Debit	Credit
Crypto Money Movement		Margin	COIN	06/01/2021				\$455.45
Crypto Money Movement		Margin	COIN	06/01/2021				\$870.65
Crypto Money Movement		Margin	COIN	06/01/2021				\$540.56
Crypto Money Movement		Margin	COIN	06/01/2021				\$41.03
AMC Entertainment Unsolicited, CUSIP: 00165C104	AMC	Margin	Buy	05/28/2021	0.250612	\$28.57	\$7.16	
AMC Entertainment Unsolicited, CUSIP: 00165C104	AMC	Margin	Buy	05/28/2021	11.992108	\$28.59	\$342.84	
AMC Entertainment Unsolicited, CUSIP: 00165C104	AMC	Margin	Buy	05/28/2021	18.978171	\$27.40	\$520.00	
AMC Entertainment Unsolicited, CUSIP: 00165C104	AMC	Margin	Buy	05/28/2021	0.556224	\$26.59	\$14.79	
AMC Entertainment Unsolicited, CUSIP: 00165C104	AMC	Margin	Buy	05/28/2021	0.007148	\$26.58	\$0.19	
AMC Entertainment Unsolicited, CUSIP: 00165C104	AMC	Margin	Buy	05/28/2021	19	\$26.58	\$505.02	
Ag Eagle Aerial Systems Unsolicited, CUSIP: 00848K101	UAVS	Margin	Sell	05/28/2021	186	\$5.20		\$967.19
Ag Eagle Aerial Systems Unsolicited, CUSIP: 00848K101	UAVS	Margin	Sell	05/28/2021	0.320054	\$5.20		\$1.67
Bionano Genomics Unsolicited, CUSIP: 09075F107	BNGO	Margin	Sell	05/28/2021	0.110843	\$6.10		\$0.68
Bionano Genomics Unsolicited, CUSIP: 09075F107	BNGO	Margin	Sell	05/28/2021	105	\$6.10		\$640.48
DURECT Unsolicited, CUSIP: 266605104	DRRX	Margin	Sell	05/28/2021	302.478028	\$1.68		\$506.60
Torchlight Energy Resources Unsolicited, CUSIP: 89102U103	TRCH	Margin	Buy	05/28/2021	0.239828	\$2.34	\$0.56	



Neighborhood Securities LLC

Account 649962289

**Proceeds Not Reported to the IRS**

2021

02/11/2022

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**SHORT TERM TRANSACTIONS [Ordinary gains or losses are identified in the Additional information column]**

Report on Form 8949, Part I, with Box C checked.

**Description of property**

Date sold or disposed	Quantity	Proceeds & Reported (G)ross or (N)et	Date acquired	Cost or other basis	Accrued mkt disc (D) & Wash sale loss disallowed (W)	Gain or loss(-) & Loss not allowed (X) also not reported (Z)	Additional information
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07/06/21	0.198	1.85	03/05/21	0.87	...	0.98	Gain or loss
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<b>Totals:</b>		<b>2.19</b>		<b>0.87</b>	...	<b>1.32</b>	

## Portfolio Summary

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<b>Total Securities</b>					<b>\$18,339.82</b>	<b>\$219.98</b>	<b>100.00%</b>
<b>Brokerage Cash Balance</b>					<b>\$0.00</b>		<b>0.00%</b>
<b>Total Priced Portfolio</b>					<b>\$18,339.82</b>		

## Account Activity

Description	Symbol	Acct Type	Transaction	Date	Qty	Price	Debit	Credit
AMC Entertainment Unsolicited, CUSIP: 00165C104	AMC	Margin	Buy	06/15/2021	0.139209	\$57.97	\$8.07	
AMC Entertainment Unsolicited, CUSIP: 00165C104	AMC	Margin	Buy	06/15/2021	10.211027	\$57.97	\$591.93	
Torchlight Energy Resources Unsolicited, CUSIP: 89102U103	TRCH	Margin	Buy	06/15/2021	104.384133	\$4.79	\$500.00	
Meta Materials Unsolicited, CUSIP: 59134N104		Margin	SPR	06/28/2021	420			
Torchlight Energy Resources Unsolicited, CUSIP: 89102U103		Margin	SPR	06/28/2021	840.395671S			
ACH Deposit		Margin	ACH	06/30/2021				\$200.00
<b>Total Funds Paid and Received</b>							<b>\$8,109.96</b>	<b>\$7,324.31</b>

## Executed Trades Pending Settlement

These transactions may not be reflected in the other summaries

Description	Acct Type	Transaction	Trade Date	Settle Date	Qty	Price	Debit	Credit
AMC Entertainment Unsolicited, CUSIP: 00165C104	Margin	Buy	06/30/2021	07/02/2021	0.565062	\$56.10	\$31.70	
AMC Entertainment Unsolicited, CUSIP: 00165C104	Margin	Buy	06/30/2021	07/02/2021	2.999545	\$56.11	\$168.30	
<b>Total Executed Trades Pending Settlement</b>							<b>\$200.00</b>	<b>\$0.00</b>